

# Archiving and Records Management

Sample



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# TABLE OF CONTENTS

---

<b>Preface .....</b>	<b>3</b>
<i>What is Courseware?.....</i>	<i>3</i>
<i>How Do I Customize My Course? .....</i>	<i>3</i>
<i>Materials Required .....</i>	<i>4</i>
<i>Maximizing Your Training Power.....</i>	<i>5</i>
<b>Icebreakers .....</b>	<b>6</b>
<i>Icebreaker: Friends Indeed.....</i>	<i>7</i>
<b>Instructor Guide Sample.....</b>	<b>8</b>
<i>Sample Module: Understanding Records .....</i>	<i>9</i>
<b>Activities .....</b>	<b>16</b>
<b>Quick Reference Sheets.....</b>	<b>18</b>
<b>Certificate of Completion .....</b>	<b>20</b>
<b>PowerPoint Sample.....</b>	<b>22</b>
<b>Full Course Table of Contents .....</b>	<b>27</b>

## Preface



### What is Courseware?

Welcome to Corporate Training Materials, a completely new training experience!

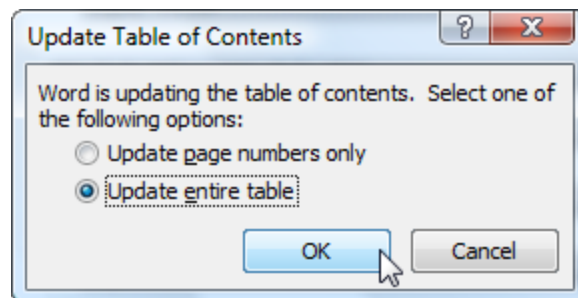
Our courseware packages offer you top-quality training materials that are customizable, user-friendly, educational, and fun. We provide your materials, materials for the student, PowerPoint slides, and a take-home reference sheet for the student. You simply need to prepare and train!

Best of all, our courseware packages are created in Microsoft Office and can be opened using any version of Word and PowerPoint. (Most other word processing and presentation programs support these formats, too.) This means that you can customize the content, add your logo, change the color scheme, and easily print and e-mail training materials.

### How Do I Customize My Course?

Customizing your course is easy. To edit text, just click and type as you would with any document. This is particularly convenient if you want to add customized statistics for your region, special examples for your participants' industry, or additional information. You can, of course, also use all of your word processor's other features, including text formatting and editing tools (such as cutting and pasting).

To remove modules, simply select the text and press Delete on your keyboard. Then, navigate to the Table of Contents, right-click, and click Update Field. You may see a dialog box; if so, click "Update entire table" and press OK.

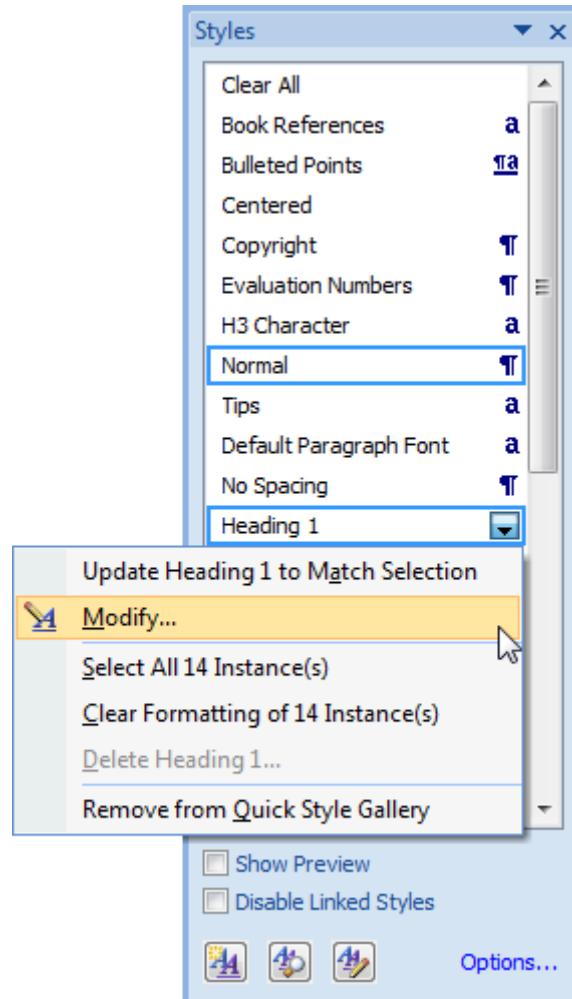


(You will also want to perform this step if you add modules or move them around.)

If you want to change the way text looks, you can format any piece of text any way you want. However, to make it easy, we have used styles so that you can update all the text at once.

If you are using Word 97 to 2003, start by clicking the Format menu followed by Styles and Formatting. In Word 2007 and 2010 under the Home tab, right-click on your chosen style and click Modify. That will then produce the Modify Style options window where you can set your preferred style options.

For example, if we wanted to change our Heading 1 style, used for Module Titles, this is what we would do:



Now, we can change our formatting and it will apply to all the headings in the document.

For more information on making Word work for you, please refer to [Word 2007 or 2010 Essentials](#) by Corporate Training Materials.

## Materials Required

All of our courses use flip chart paper and markers extensively. (If you prefer, you can use a whiteboard or chalkboard instead.)

We recommend that each participant have a copy of the Training Manual, and that you review each module before training to ensure you have any special materials required. Worksheets and handouts are included within a separate activities folder and can be reproduced and used where indicated. If you would like to save paper, these worksheets are easily transferrable to a flip chart paper format, instead of having individual worksheets.

We recommend these additional materials for all workshops:

- Laptop with projector, for PowerPoint slides
- Quick Reference Sheets for students to take home
- Timer or watch (separate from your laptop)
- Masking tape
- Blank paper

## Maximizing Your Training Power

We have just one more thing for you before you get started. Our company is built for trainers, by trainers, so we thought we would share some of our tips with you, to help you create an engaging, unforgettable experience for your participants.

- **Make it customized.** By tailoring each course to your participants, you will find that your results will increase a thousand-fold.
  - Use examples, case studies, and stories that are relevant to the group.
  - Identify whether your participants are strangers or whether they work together. Tailor your approach appropriately.
  - Different people learn in different ways, so use different types of activities to balance it all out. (For example, some people learn by reading, while others learn by talking about it, while still others need a hands-on approach. For more information, we suggest Experiential Learning by David Kolb.)
- **Make it fun and interactive.** Most people do not enjoy sitting and listening to someone else talk for hours at a time. Make use of the tips in this book and your own experience to keep your participants engaged. Mix up the activities to include individual work, small group work, large group discussions, and mini-lectures.
- **Make it relevant.** Participants are much more receptive to learning if they understand why they are learning it and how they can apply it in their daily lives. Most importantly, they want to know how it will benefit them and make their lives easier. Take every opportunity to tie what you are teaching back to real life.
- **Keep an open mind.** Many trainers find that they learn something each time they teach a workshop. If you go into a training session with that attitude, you will find that there can be an amazing two-way flow of information between the trainer and trainees. Enjoy it, learn from it, and make the most of it in your workshops.

And now, time for the training!

## **Icebreakers**

Each course is provided with a wide range of interactive Icebreakers. The trainer can utilize an Icebreaker to help facilitate the beginning of the course, as it helps “break the ice” with the participants. If the participants are new to each other, an icebreaker is a great way to introduce everyone to each other. If the participants all know each other it can still help loosen up the room and begin the training session on positive note. Below you will see one of the icebreakers that can be utilized from the Icebreakers folder.

## **Icebreaker: Friends Indeed**

### **Purpose**

Have the participants moving around and help to make introductions to each other.

### **Materials Required**

- Name card for each person
- Markers

### **Preparation**

Have participants fill out their name card. Then, ask participants to stand in a circle, shoulder to shoulder. They should place their name card at their feet. Then they can take a step back. You as the facilitator should take the place in the center of the circle.

### **Activity**

Explain that there is one less place than people in the group, as you are in the middle and will be participating. You will call out a statement that applies to you, and anyone to whom that statement applies must find another place in the circle.

Examples:

- Friends who have cats at home
- Friends who are wearing blue
- Friends who don't like ice cream

The odd person out must stand in the center and make a statement.

The rules:

- You cannot move immediately to your left or right, or back to your place.
- Let's be adults: no kicking, punching, body-checking, etc.

Play a few rounds until everyone has had a chance to move around.

## **Instructor Guide Sample**

On the following pages is a sample module from our Instructor Guide. It provides the instructor with a copy of the material and a Lesson Plans box.

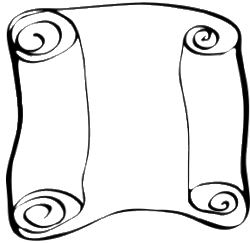
The key benefit for the trainer is the Lesson Plan box. It provides a standardized set of tools to assist the instructor train that particular lesson. The Lesson Plan box gives an estimated time to complete the lesson, any materials that are needed for the lesson, recommended activities, and additional points to assist in delivering the lessons such as Stories to Share and Delivery Tips.



*Data beats emotions.*

*Sean Rad*

## Sample Module: Understanding Records



Records are in every organization. From purchasing receipts to tax documents to communications, they need to be identified and managed properly. The method of records management that a company uses should be tailored to fit the needs of the organization. There are, however, some basic concepts in most records management systems.

## What is Records Management?



Records management systems will create uniformity and understanding. Regardless of how the records management system is organized, the management will affect the way that data is collected, stored and accessed.

### Aspects of Records Management

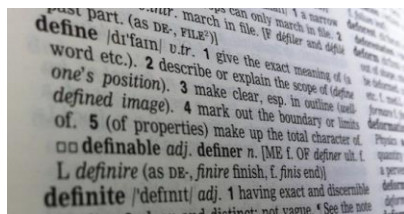
- Establish a company filing system that is uniform
- Determine the storage of physical, confidential records
- Develop programs for consistent management of records
- Create archives and resource libraries

Over the course of this instruction, you will develop a better understanding of these aspects and how they connect in records management.

Estimated Time	7 minutes
Topic Objective	Review the definition of records management.
Topic Summary	What is Records Management?

	Discuss the different aspects of records management.
<b>Materials Required</b>	<b>Flipchart/board, marker</b>
<b>Planning Checklist</b>	None
<b>Recommended Activity</b>	Discuss the aspects of records management. Consider the different methods of filing systems and ways to store records. Write answers on the board/flipchart. Discuss how these work in different settings.
<b>Stories to Share</b>	Share any personal, relevant stories.
<b>Delivery Tips</b>	Encourage everyone to participate.
<b>Review Questions</b>	What does a records management system create?

## Defining Records



All records are documents, but not all documents are records. A document can be a contract, email, business negotiation, etc. If it relates to the legal obligations, evidence, or business transactions, the document becomes part of the legal record. When identifying a record, it is necessary to consider the purpose of the document.

- Is it personal or business?
- Does it relate to a transaction?
- Does it reflect any company action or activity?
- Does it have legal implications?

Once a document has been identified as a record, it must be carefully maintained for future use.

<b>Estimated Time</b>	<b>8 minutes</b>
<b>Topic Objective</b>	Review the types of contracts.
<b>Topic Summary</b>	<b>Defining Records</b>  Discuss what documents would need to be saved as records.
<b>Materials Required</b>	<b>Flipchart/board, marker</b>
<b>Planning Checklist</b>	Bring in examples of different types of records, or share pictures of each.

<b>Recommended Activity</b>	Consider the different records, and list them on the flipchart/board.
<b>Stories to Share</b>	Share any personal, relevant stories.
<b>Delivery Tips</b>	Encourage everyone to participate.
<b>Review Questions</b>	What are all records?

## Archives vs. Records



Records can become part of archives. Archives are records that are no longer current but are preserved past average records. Records are kept for varying lengths of time, depending on what they are. Once documents pass the necessary time for storage, they are disposed, or they are placed in archives. Archives typically have a historical, political, or legal reasons. They have value for the long-term. For example, documents that provide legal protections might be archived along with the founding documents of an organization. When choosing to dispose of documents in records or keeping them, remember that only a few of the documents will be archived. Archives may be stored on site, although some institutions will keep them offsite. Larger organizations with multiple locations are more likely to use offsite archives.

<b>Estimated Time</b>	<b>8 minutes</b>
<b>Topic Objective</b>	Review the difference between archives and records.
<b>Topic Summary</b>	<b>Archives vs. Records</b>  Discuss the difference between archives and records.
<b>Materials Required</b>	<b>Flipchart/board, marker</b>
<b>Planning Checklist</b>	None
<b>Recommended Activity</b>	Create a list of different types of documents. Have the class identify if the document should be archived or disposed and explain why.
<b>Stories to Share</b>	Share any personal, relevant stories.
<b>Delivery Tips</b>	Encourage everyone to participate.
<b>Review Questions</b>	What value do archives have ?

## Life Cycle



There are differing definitions for document life cycles, which have become even more complicated with the introduction of electronic records. In this text, there is a blend of the classic cycle and the life history.

### The Life of Records:

1. Documents are created or received. Records are identified.
2. Identified documents are captured for record-keeping. The captured files follow the necessary business practices and are current.
3. Record management occurs. The records are stored, used, or maintained. The records may be current or not current. Records that are no longer considered current may become current again in events such as audits.
4. Records are assessed and action taken. The records are identified as in use, necessary to maintain, necessary to dispose of, or necessary to archive.

<b>Estimated Time</b>	<b>7 minutes</b>
<b>Topic Objective</b>	Review the life cycle of records.
<b>Topic Summary</b>	<b>Life Cycle</b> Discuss the life cycle of records
<b>Materials Required</b>	<b>01: Life Cycle</b>
<b>Planning Checklist</b>	None
<b>Recommended Activity</b>	Complete the worksheet individually. Share your answers with the rest of the group.
<b>Stories to Share</b>	Share any personal, relevant stories.
<b>Delivery Tips</b>	Encourage everyone to participate.
<b>Review Questions</b>	What is true of document life cycles?

## Case Study



Duncan and Mario opened a small business together. Mario was in charge of the paperwork, while Duncan was in charge of the driving the sales. After six years, the company was audited by the IRS because of questionable deductions. The Business partners decided to prepare, and Mario pulled out the tax returns. Duncan asked for the receipts, and Mario told him that he threw out the first year's receipts because he heard that no one looks past five years.

<b>Estimated Time</b>	<b>6 minutes</b>
<b>Topic Objective</b>	Outline the <b>Understanding Records</b> Case Study.
<b>Topic Summary</b>	<b>Case Study</b> Discuss the characteristics of records and life cycles.
<b>Materials Required</b>	None
<b>Planning Checklist</b>	Check state and federal tax and audit laws beforehand.
<b>Recommended Activity</b>	Discuss the outcome of the case study. How long should Mario have kept the documents in question?
<b>Stories to Share</b>	Share any personal, relevant stories.
<b>Delivery Tips</b>	Encourage everyone to participate.
<b>Review Questions</b>	Why were they examining tax records?

## Module Two: Review Questions

1. What is Not affected by records management?

- a) The way data is defined.
- b) The way data is stored.
- c) The way data is collected.
- d) The way data is accessed.

Records management defines the way that data is collected, stored, and accessed. The records management system does not alter the definition of the data.

2. What determines the shape that a records management system will take?

- a) They will all be the same.
- b) Organizational needs.
- c) People.
- d) Age of the organization.

Records management specifics will be determined by the needs of the organization. These needs can include, but are not limited to the people in the organization as well as its age.

3. What type of email does not need to be archived?

- a) Those that detail business matters.
- b) Those that detail personal matters.
- c) Those that detail legal matters.
- d) All emails need to be recorded.

Emails can be records. They are records when they detail the business aspects or the legal aspects of the organization.

4. What determines if the document become part of a record?

- a) The parties involved.
- b) The age of the document.
- c) The sender of the document.
- d) The purpose of the document.

The purpose of a document will determine if it is part of a record. While most documents between organizations are part of records, some correspondence may not relate to business purposes.

5. How long are records kept?

- a) They are kept 5 years.
- b) They are kept 7 years.
- c) It depends on the record.
- d) They are kept 10 years.

Records are kept for varying lengths of time. The time necessary for their maintenance should be considered before their disposal.

6. What is not a reason to archive something?

- a) Personal.
- b) Historical.
- c) Political.
- d) Legal.

Personal documents are not held as records. They are also not recorded as archives. Archives typically have legal, political, and historical significance.

7. What occurs after documents are created?

- a) They are disposed of.
- b) They are identified as records.
- c) They are captured.
- d) They are managed.

Documents are created or received in the first step of the life cycle. At this stage they are identified as records. After records are identified, they are captured and then managed.

8. What occurs immediately before action is taken with records?

- a) Capture.
- b) Assessment.
- c) Management.
- d) Nothing.

Taking action is the final step in the cycle. Records are first assessed to determine what should be done with them, disposal, maintenance, or archive.

9. How long was the company in business before it was audited?

- a) 5 years.
- b) 3 years.
- c) 6 years.
- d) Unknown.

The company was audited after six years. The receipts were kept for five years.

10. Which receipts were missing?

- a) All.
- b) First year's.
- c) First two years'.
- d) First five years'.

Mario only kept five years of receipts, so the first year's receipts were missing for the audit.

## Activities

During the facilitation of a lesson Worksheet or Handout may be utilized to help present the material. If a lesson calls for a Worksheet or Handout it will be listed in the Lesson Plan box under Materials Required. The trainer can then utilize the Activities folder for the corresponding material and then provide it to the participants. They are all on separate Word documents, and are easily edited and customized.

Below you will see the Worksheets or Handouts that are utilized during the training of the above lesson. They are located in the Activities folder and can be easily printed and edited for the participants.



## Sample Worksheet: Life Cycle

Choose 1 through 4 to indicate where a document is in the life cycle.

1. A contract is received. \_\_\_\_\_
2. A record is disposed of. \_\_\_\_\_
3. An old tax return is pulled for an audit. \_\_\_\_\_
4. A document is filed with others. \_\_\_\_\_

Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## **Quick Reference Sheets**

Below is an example of our Quick reference Sheets. They are used to provide the participants with a quick way to reference the material after the course has been completed. They can be customized by the trainer to provide the material deemed the most important. They are a way the participants can look back and reference the material at a later date.

They are also very useful as a take-away from the workshop when branded. When a participant leaves with a Quick Reference Sheet it provides a great way to promote future business.

# Archiving and Records Management

## What is Records Management

Records management systems will create uniformity and understanding. Regardless of how the records management system is organized, the management will affect the way that data is collected, stored and accessed.

### Aspects of Records Management

- Establish a company filing system that is uniform
- Determine the storage of physical and confidential records
- Develop programs for consistent management of records
- Create archives and resource libraries

Over the course of this instruction, you will develop a better understanding of these aspects and how they connect in records management and which of work in different organizational settings.

## Records Survey

Records surveys examine records to discover the relationships between them and the activities and processes of the organizations. Effective surveys limit themselves to specific functions or units. They also examine the control systems as well as the state and storage of the records and those who are responsible for them. The maintenance of the records is compared with the needs of the users to discover necessary changes.

A records survey typically follows basic steps:

- Establish the survey's scope
- Gather records and resources
- Complete background research
- Complete survey process
- Meet with relevant employees
- Examine the records and systems
- Note what is found
- Analyze and make a report of discoveries

The survey should end with suggestions for improvement.

## Creative Process

There are books dedicated to creative actions and processes in records management. Most of these books are written specifically for creative fields. In many organizations, however, creative processes are ignored. In reality, most organizations engage in creative actions. These allow for more inventiveness on the part of individuals because they do not follow everyday actions or steps. Different creative processes may be repeated, but they are not part of the day-to-day operations that routine processes are. It is possible for some processes to be blends of regular and creative steps, but they do not become routine processes. An example of a creative process would be creating visual aids for a presentation.

## **Certificate of Completion**

Every course comes with a Certificate of Completion where the participants can be recognized for completing the course. It provides a record of their attendance and to be recognized for their participation in the workshop.

# CERTIFICATE OF COMPLETION

**[Name]**

*Has mastered the course*

*Archiving and Records Management*

Awarded this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

Presenter Name and Title

\_\_\_\_\_

## **PowerPoint Sample**

Below you will find the PowerPoint sample. The slides are based on and created from the Instructor Guide. PowerPoint slides are a great tool to use during the facilitation of the material; they help to focus on the important points of information presented during the training.

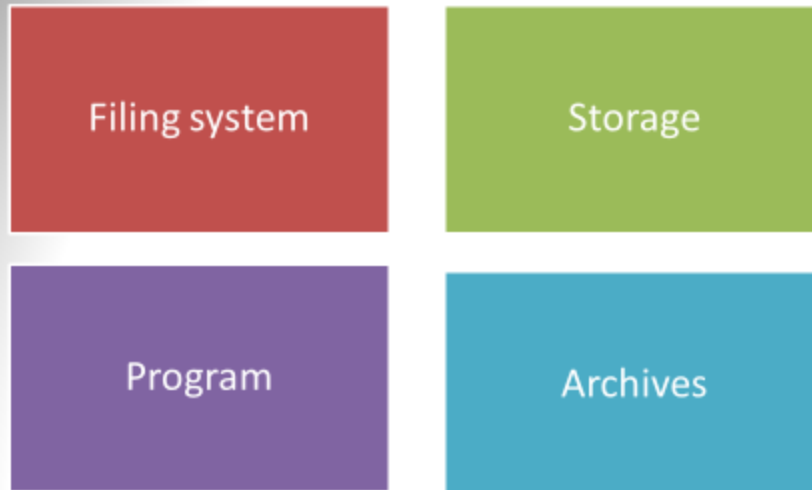
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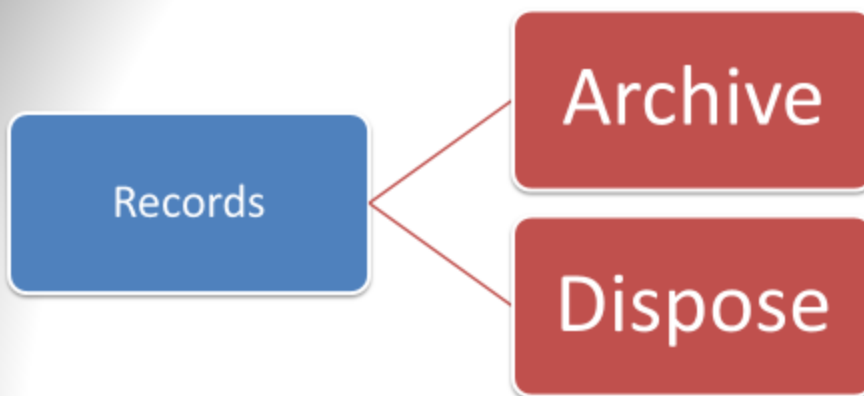
### What is Records Management?



## Defining Records



## Archives vs. Records





## Life Cycle



## Case Study

Duncan and Mario opened a small business together.

Mario was in charge of the paperwork

After six years, the company was audited

He threw out the first year's receipts

## Module Two: Review Questions

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# Full Course Table of Contents

<b>Preface .....</b>	<b>7</b>
What is Courseware? .....	7
How Do I Customize My Course?.....	7
Materials Required .....	9
Maximizing Your Training Power .....	9
<b>Module One: Getting Started .....</b>	<b>11</b>
Housekeeping Items .....	11
The Parking Lot .....	12
Workshop Objectives .....	12
Action Plan Form.....	13
Evaluation Form .....	14
<b>Module Two: Understanding Records .....</b>	<b>15</b>
What is Records Management? .....	15
Defining Records .....	16
Archives vs. Records.....	16
Life Cycle .....	17
Case Study.....	18
Module Two: Review Questions .....	19
<b>Module Three: Management of Records .....</b>	<b>22</b>
What Is and Is Not a Record? .....	22
Record Programs.....	23
Management of Systems .....	24

Developing Standards .....	25
Case Study .....	26
Module Three: Review Questions.....	27
<b>Module Four: Context I .....</b>	<b>30</b>
Techniques for Analyzing Records .....	30
Collecting Information .....	31
Organizational Needs.....	32
Legal Demands.....	33
Case Study.....	34
Module Four: Review Questions.....	35
<b>Module Five: Context II .....</b>	<b>38</b>
Routine Process.....	38
Creative Process.....	39
System Analysis.....	39
Records Survey.....	41
Case Study.....	42
Module Five: Review Questions.....	43
<b>Module Six: Classification.....</b>	<b>46</b>
Functionality .....	46
Prioritize .....	47
Assess and Review .....	47
Develop a Tool .....	49
Case Study.....	50
Module Six: Review Questions.....	51

<b>Module Seven: Paper-Based Systems .....</b>	<b>54</b>
Arranging and Grouping.....	54
Building Files .....	55
Elementary & Intermediate .....	56
Metadata.....	57
Case Study.....	57
Module Seven: Review Questions .....	58
<b>Module Eight: Electronic Records .....</b>	<b>61</b>
Classifying.....	61
Folders and Directories .....	62
Groupings.....	63
Metadata.....	64
Case Study.....	65
Module Eight: Review Questions .....	67
<b>Module Nine: Hybrid Systems .....</b>	<b>70</b>
Routine Processes.....	70
Creative Processes .....	71
Design.....	72
Limitations .....	73
Case Study.....	74
Module Nine: Review Questions .....	75
<b>Module Ten: Appraisals &amp; Systems.....</b>	<b>78</b>
Taxonomy of Values.....	78
Macro Appraisal .....	79

Strategy & Criteria .....	80
Document & Review Decisions .....	81
Case Study.....	82
Module Ten: Review Questions .....	83
<b>Module Eleven: Record Maintenance .....</b>	<b>86</b>
Paper .....	86
Electronic .....	87
Create Archives .....	88
Conversion .....	89
Case Study.....	90
Module Eleven: Review Questions .....	91
<b>Module Twelve: Wrapping Up .....</b>	<b>94</b>
Words from the Wise.....	94
Review of Parking Lot.....	94
Lessons Learned .....	94
Completion of Action Plans and Evaluations .....	95
<b>Appendix .....</b>	<b>96</b>
Worksheet One: Life Cycle.....	96
Worksheet Two: Records .....	97
Worksheet Three: Tools.....	98
Worksheet Four: SWOT .....	99
Worksheet Five: Functional Analysis .....	100
Worksheet Six: Functions.....	101
Worksheet Seven: Prioritize .....	102

Worksheet Eight: Building Files .....	103
Worksheet Nine: Directory .....	104
Worksheet Ten: Design .....	105
Worksheet Eleven: Retention Schedule .....	106
Worksheet Twelve: Paper Records Risks .....	107
Worksheet Thirteen: Electronic Records Risk .....	108
Recommended Reading List.....	109